

STATE OF ALABAMA
ALABAMA SECURITIES COMMISSION

IN THE MATTER OF:)	
)	
ROBERT DAVID CHILD)	ADMINISTRATIVE ORDER
)	NO. OV-2002-0017
)	
<u>RESPONDENT</u>)	

ORDER TO VACATE
AND
AGREEMENT TO NOT SEEK REGISTRATION

The Alabama Securities Commission ("Commission"), having the power to administer and provide for the enforcement of all provisions of Title 8, Chapter 6, Code of Alabama 1975, the Alabama Securities Act, upon due consideration of the subject matter hereof, has determined as follows:

RESPONDENT

1. ROBERT DAVID CHILD ("RESPONDENT"), from April 4, 1994 to June 28, 2001, was a registered securities agent of Alabama registered dealer UBS PaineWebber. Prior to that employment, from October 25, 1981, to September 23, 1982 and from May 3, 1983 to April 21, 1994, RESPONDENT was an Alabama registered agent of an Alabama registered dealer, *Prudential Securities Inc.* RESPONDENT's last known address is 781 Crandon Blvd. Apt. 310 Key Biscayne, FL 33149-2544.

STATEMENT OF FACTS

2. The Commission received information from an Alabama resident ("complainant") who stated that the RESPONDENT conducted a series of unauthorized transactions involving the purchase of bonds in an account held at UBS PaineWebber Inc.

3. The complainant further alleged that the RESPONDENT, in direct conflict with her investment objectives (income only) placed her in unsuitable investments (i.e.